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CHAPTER NINE

MISTRAC/MONITORING CORRECTIVE ACTION

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This chapter describes the mishap and hazard recommendation tracking (MISTRAC) program, and the process and procedures used to monitor corrective actions and eliminate hazards from Naval Aviation.

901. GENERAL

Detection and correction eliminates the hazards that cause mishaps. Hazards detected before they cause accidents are reported in Hazard Reports. Those that go undetected or uncorrected are reported in SIRs. Each identified hazard must have corrective action assigned to prevent future mishaps. The Naval Safety Center maintains the MISTRAC database in order to record corrective actions and track their status and progress.

902. PURPOSE AND METHODOLOGY OF MONITORING CORRECTIVE ACTIONS

Aggressively tracking corrective actions ensures their timely resolution before the associated hazard can cause additional damage or injury. The numbers of hazards identified in naval aviation each year that require this monitoring is enormous. Some means of prioritizing them is necessary so those with the greatest potential for harm can be addressed first. To facilitate this we use the Risk Assessment Code (RAC) which is defined in appendix B. The RAC weighs hazards and assigns priorities for corrective action based on their severity and their expected frequency of occurrence. The more severe the hazard, the lower the RAC, and the more urgent the action required. Hazards with the most urgent Risk Assessment Codes receive first priority for action and resources. Anyone, without regard to seniority, can identify and assign corrective action. Responsibility for making the required corrections lies with the action command assigned through the Hazard Mishap

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Report process. The endorsing process ratifies the assigned action through the chain of command and, until every one has had their say and the action is complete, COMNAVSAFECEN and its MISTRAC system is the link that keeps all parties informed.

903. PROGRAM DEFINITIONS

a. MISTRAC. Mishap and Hazard Recommendation Tracking: The computer system COMNAVSAFECEN uses to monitor corrective action identified through Hazard Reports, SIRs, and their endorsements.

b. MISREC. Mishap Recommendation: A corrective action resulting from mishap causal factors and hazards identified in a SIR after a mishap. MISRECs are monitored in the MISTRAC program.

c. HAZREC. Hazard Recommendation: A corrective action identified in a Hazard Report. HAZRECs are dangerous conditions discovered before they caused a mishap. The MISTRAC program monitors RAC I and II HAZRECs.

d. SPECREC. Special Report Recommendation: A designation reserved for MISRECs and HAZRECs of special interest to naval aviation involving elements of high risk and high visibility which are facing delays in corrective action. Designating a SPECREC ensures the corrective action will receive special attention until resolved. SPECREC status requires:

(1) a Risk Assessment Code of 1 or 2,

(2) being debated or delayed

(3) so designated by COMNAVSAFECEN.

COMNAVSAFECEN may, in the interest of naval aviation, assign SPECREC status to any corrective action.

904. MISTRAC COMPUTER PROGRAM

COMNAVSAFECEN shall administer the MISTRAC database.

905. RESPONSIBILITIES AND PROCEDURES

a. Action Agencies. Those agencies and commands assigned corrective action by an SIR or HAZREP must complete the assigned action unless relieved by a later endorser or other competent

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authority. Action agencies provide a response as described below:

(1) Action Agency in Endorsing Chain. The action agency may agree, disagree, change, or restate the corrective action assigned. They may transfer the action to another agency, change the RAC, or modify any corrective action in their endorsement so long as they explain and justify their position. Later endorsers have the same opportunity until the final endorser determines who will carry out what action. Each agency is responsible for their assigned action unless relieved by competent authority.

(2) Action Agency Not in Endorsing Chain. When not in the endorsing chain, an action agency has the same freedom to accept, reject, or change the corrective action as those in the endorsing chain. These action agencies, however, do not respond with a full endorsement. All that is needed in these cases is a HAZREC or MISREC response message using the format described in paragraph 906 and sent to the final endorser and any other action agencies. Send INFO copies to the originating agency, controlling custodian, COMNAVSAFECEN and the CAD. The final endorser will agree or disagree with the position and determine the action required.

(3) Required Action for MISRECs and HAZRECs. COMNAVSAFECEN monitors corrective actions from HAZRECs and MISRECs through to completion. Action agencies must, therefore, notify the controlling custodian and COMNAVSAFECEN of any changes to their assigned corrective action. Within 30 days of the final endorsement, action agencies must send a naval message to the controlling custodian, COMNAVSAFECEN and the CAD. This message must acknowledge their assigned action, describe their plan to accomplish it, indicate the start or completion dates, and provide the name and the phone number of their point of contact. Report all status changes until the action is complete.

b. Endorsing Agencies. Endorsing agencies can influence the resolution of the hazard. Corrective action, assigned at any level, has the singular goal of eliminating the hazard. Senior agencies may disagree with any assigned action, but the intent of the endorsing process is to build a consensus for an appropriate corrective action without assigning blame. Each endorser must evaluate these corrective actions based on urgency, resources, and their individual circumstances while keeping this goal in mind.

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c. COMNAVSAFECEN

(1) MISREC AND HAZREC Tracking

(a) To Action Agencies. Twice a year, on 1 March and 1 September, COMNAVSAFECEN provides a listing of all open recommendations to all action agencies. This listing includes a summary of the recommendations, the complete endorsement sequence, and all transactions to date.

(b) To Controlling Custodians. COMNAVSAFECEN sends a similar list to all controlling custodians on 1 June and 1 December.

(2) Record Status. Although recommendations relating to actions on MISRECs, HAZRECs, and SPECRECs may be initiated by any concerned agency, opening, closing, and reopening of individual records is the exclusive prerogative of the COMNAVSAFECEN.

906. HAZREC AND MISREC RESPONSE MESSAGE FORMAT

a. Format. Submit HAZREC and MISREC response messages using this format:

(1) Addressees. Use only the addressees on the original Hazard Report or SIR to which you are responding. Add no other addressees without permission from COMNAVSAFECEN.

(a) In the text of the report repeat, word for word, all double underlined material in the format below.

(b) Check Navy Tactical Publication (NTP) 3, Telecommunications Users Manual, for the latest message format.

(2) Headings. Place the appropriate heading at the beginning of the text; using the formats provided below.

(3) for HAZRECs:

BT

UNCLAS FOUO //N03750// NAVAL AVIATION HAZARD (HAZREC)
RECOMMENDATION RESPONSE (-UAV hazards involving UAVs only)
TO (command submitting the hazard report, report serial number, date of occurrence, model/series aircraft or UAV, buno, as applicable)/REPORT SYMBOL OPNAV 3750-19

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MSGID/GENADMIN/originator/message serial number (not report serial number)/month//

SUBJ/AVIATION HAZREC //

REF/A/DOC/OPNAVINST 3750.6R/-//

REF/B/(Other references as appropriate)//

NARR/REF A IS THE NAVAL AVIATION SAFETY PROGRAM. REF B (list other references as appropriate)/THIS IS A GENERAL USE REPORT.//
POC/(name of primary point of contact to answer inquiries about the report) /PRIPHN:phone number or "deployed"/-/SECPHN:phone number//

RMKS/1. SUMMARY: (Copy the description of the incident from the Hazard Report)

2. IAW REF A, THE FOLLOWING PROVIDES HAZREC RESPONSE TO REF B:

A. PARA XX, copy the description for the first recommendation, then AGREE or DISAGREE as appropriate. State the status of the recommendation and actions pending on the originator's recommendation. If you change the recommendation include: RESTATE AS: and describe your the new recommendation.

B. PARA XX, next and subsequent recommendations.

3. COMMANDING OFFICER'S COMMENTS. Endorser comments are encouraged.

(4) for MISRECs:

BT

UNCLAS FOUO //N03752// NAVAL AVIATION MISHAP SAFETY RECOMMENDATION (MISREC) RESPONSE (-UAV for UAV mishaps only) TO (reporting custodian, mishap classification, mishap serial number, date of occurrence, model/series aircraft or UAV, buno)/REPORT SYMBOL OPNAV 3752-1

MSGID/GENADMIN/originator/message serial number (not report serial number)/month//

SUBJ/AVIATION MISREC //

REF/A/DOC/OPNAVINST 3750.6R/-//

REF/B/DOC/(Other references as appropriate)//

NARR/REF A IS THE NAVAL AVIATION SAFETY PROGRAM. REF B IS (list other references as appropriate).//

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POC/(name of primary point of contact to answer inquiries about the MIR)/(rank)/(code)/(location)/TEL:(phone number or "deployed")/TEL:(phone number)//

RMKS/*****

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1. SUMMARY: (copy the description of the mishap from the SIR)

2. IAW REF A, THE FOLLOWING PROVIDES MISREC RESPONSE TO REF B:

A. PARA XX, repeat the terse description for the first recommendation. AGREE or DISAGREE, as appropriate. State the status of the recommendation and actions planned by the originator. If you change the recommendation include the following phrase RESTATE AS: Then state the new recommendation.

B. PARA XX, next and subsequent recommendations.

3. COMMANDING OFFICER'S COMMENTS. Endorser comments are encouraged.